

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview

1. **Date of Submission:** 2010-09-17
2. **Agency:** 006
3. **Bureau:** 51
4. **Name of this Investment:** USPTO Patents End-to-End: Software Engineering (PE2E-SE)
5. **Unique Project (Investment) Identifier (UPI):** 006-51-01-03-01-8032-00
6. **What kind of investment will this be in FY 2012?:** Planning
 - Planning
 - Full Acquisition
 - Operations and Maintenance
 - Mixed Life Cycle
 - Multi-Agency Collaboration
7. **What was the first budget year this investment was submitted to OMB?** FY2012
8.
 - a. **Provide a brief summary of the investment and justification, including a brief description of how this closes in part or in whole an identified agency performance gap, specific accomplishments expected by the budget year and the related benefit to the mission, and the primary beneficiary(ies) of the investment.**

Current systems were constructed in response to functional requirements from segregated business units. Systems are stovepipe in design, have insular technologies, and provide limited interoperability. This limited automated interaction resulted in corresponding manual processes/error checking and laborious workarounds simulating an automated process and caused significant costs to maintain the operation s business processes and IT s cobbling together of disparate systems. Patent File Wrapper, PE2E-SE s predecessor, did not succeed. Backend functionality in PFW will no longer be used by the USPTO after the deployment of the Examiner Docket Management Workflow project in FY 11. The PE2E-SE approach is entirely different. In PFW, technical solutions were sought and business processes were fit to suit them. PFW was centered on condensing existing AISs to new technology. PE2E-SE is using the base business process with the infrastructure/architecture through an agile/iterative process. PE2E-SE will create a new generation of patent systems using modern data formats to provide end-to-end electronic processing. The new system is required to meet our agency s goals of providing timely examination of patent applications including: - Reducing average pendency times to 10 months for first office action on merits for patent applications and 20 months for total pendency; - Improve patent examination quality; and - Improve/enhance patent appeal/post-grant processes. The PE2E-SE OMB 300 will use iterative development milestones based on the Memorandum for Chief Information Officers M-10-27 by Vivek Kundra improving transparency, performance management, and effective investment oversight while using an iterative development methodology to maximize adaptability to business needs. The next iterations scope will be defined in detail/estimated/baselined/documented in the OMB 300. Future iterations planning activities will take place during current iterations, permitting project teams and internal/external customers to provide feedback that leads to detailed milestones/estimates for the next iteration (along with an OMB 300 rebaseline reflecting progressive elaboration of scope that is typical in agile development). To ensure performance is correctly measured and accountable for deliverables/budgets, the USPTO CIO will approve all rebaselines prior to submission to OMB.
 - b. **Provide any links to relevant websites that would be useful to gain additional information on the investment including links to GAO and IG reports.**

Title	Link
NONE	

9.

- a. **Provide the date of the Agency's Executive/Investment Committee approval of this investment.**

2010-10-01

- b. **Provide the date of the most recent or planned approved project charter.** 2010-06-18

10. **Contact information?**

- a. **Program/Project Manager Name:** *

Phone Number: *

Email: *

- b. **Business Function Owner Name (i.e. Executive Agent or Investment Owner):** Robert L. Stoll

Phone Number: *

Email: *

11. What project management qualifications does the Project Manager have? (choose only one per FAC-P/PM or DAWIA): Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.

- Project manager has been validated according to FAC-P/PM or DAWIA criteria as qualified for this investment.
- Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this investment.
- Project manager assigned to investment, but does not meet requirements according to FAC-P/PM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table I.B.1: Summary of Funding

(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Planning & Acquisition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition(DME):	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
Operations, Maintenance, Disposition Government FTE Costs	*	*	*	*	*	*	*	*	*
Subtotal O&M and Disposition Costs (SS):	*	*	*	*	*	*	*	*	*
TOTAL FTE Costs	*	*	*	*	*	*	*	*	*
TOTAL (not including FTE costs):	*	*	*	*	*	*	*	*	*
TOTAL (including FTE costs):	*	*	*	*	*	*	*	*	*
Number of FTE represented by	*	*	*	*	*	*	*	*	*

Table I.B.1: Summary of Funding
(In millions of dollars)

(Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)

	PY-1 and earlier	PY 2010	CY 2011 (CY Continuing Resolution)	BY 2012	BY+1 2013	BY+2 2014	BY+3 2015	BY+4 and beyond	Total
Costs:									

2. Insert the number of years covered in the column “PY-1 and earlier”:

3. Insert the number of years covered in the column “BY+4 and beyond”: *

4. If the summary of funding has changed from the FY 2011 President’s Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table I.C.1 Contracts Table

Contract Status	Contracting Agency ID	Procurement Instrument Identifier (PIID)	Indefinite Delivery Vehicle (IDV) Reference ID	Solicitation ID	Alternative financing	EVM Required	Ultimate Contract Value (M)	Type of Contract/Task Order (Pricing)	Is the contract a Performance Based Service Acquisition (PBSA)?	Effective date	Actual or expected End Date of Contract/Task Order	Extent Competed	Short description of acquisition
Awarded	1344	DOC50PAPT1100006			*	*	\$0.2	Firm Fixed Price	N	2010-10-26	2011-10-26	Y	User Interface Designs
Awarded	1344	DOC50PAPT1100007			*	*	\$0.3	Labor Hours	N	2010-10-26	2011-10-26	Y	User Interface Designs
Awarded	1344	DOC50PAPT1100008			*	*	\$0.3	Labor Hours	N	2010-10-27	2012-10-26	Y	User Interface Designs
Awarded	1344	DOC44PAPT1102021	GS00Q09BGD0022		*	*	\$1.0	Firm Fixed Price	Y	2010-10-28	2011-02-18	Full and Open Competition	Patent End To End Next Generation
Awarded	1344	DOC44PAPT1102022	GS00Q09BGD0052		*	*	\$0.8	Firm Fixed Price	Y	2010-10-28	2011-02-18	Full and Open Competition	Patent End To End Next Generation
Awarded	1344	DOC44PAPT1109009	GS00Q09BGD0048		*	*	\$0.8	Firm Fixed Price	Y	2010-11-01	2011-02-18	Full and Open Competition	Patent End To End Next Generation

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3.

a. Has an Acquisition Plan been developed? If yes, please answer the questions that follow *

b. Does the Acquisition Plan reflect the requirements of FAR Subpart 7.1 *

c. Was the Acquisition Plan approved in accordance with agency requirements *

d. If "yes," enter the date of approval? *

e. Is the acquisition plan consistent with your agency Strategic Sustainability Performance Plan? *

f. Does the acquisition plan meet the requirements of EOs 13423 and 13514? *

g. If an Acquisition Plan has not been developed, provide a brief explanation.

*

Part II: IT Capital Investments

Section A: General

1.
 - a. Confirm that the IT Program/Project manager has the following competencies: configuration management, data management, information management, information resources strategy and planning, information systems/network security, IT architecture, IT performance assessment, infrastructure design, systems integration, systems life cycle, technology awareness, and capital planning and investment control. yes
 - b. If not, confirm that the PM has a development plan to achieve competencies either by direct experience or education.

2. Describe the progress of evaluating cloud computing alternatives for service delivery to support this investment. USPTO is committed to implementing a virtual cloud environment. An evaluation planned for FY11 will analyze current & emerging cloud computing offerings, identify procurement options, and analyze cloud migration risks, issues, and concerns.

3. Provide the date of the most recent or planned Quality Assurance Plan 2011-06-22

4.
 - a. Provide the UPI of all other investments that have a significant dependency on the successful implementation of this investment. 006-51-02-00-01-8011-00,006-51-01-03-01-8011-00
 - b. If this investment is significantly dependent on the successful implementation of another investment(s), please provide the UPI(s). 006-51-01-03-02-8033-00

5. An Alternatives Analysis must be conducted for all Major Investments with Planning and Acquisition (DME) activities and evaluate the costs and benefits of at least three alternatives and the status quo. The details of the analysis must be available to OMB upon request. Provide the date of the most recent or planned alternatives analysis for this investment. 2011-06-30

6. Risks must be actively managed throughout the lifecycle of the investment. The Risk Management Plan and risk register must be available to OMB upon request. Provide the date that the risk register was last updated. 2011-06-30

Section B: Cost and Schedule Performance

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Build internal cloud environment - Phase I	DME	*	\$0.0	\$0.0	2011-05-02		2011-09-30		0.00%	0.00%
Conduct Technology test team market research - Phase I	DME	*	\$0.0	\$0.0	2010-10-01	2010-10-01	2011-04-29	2011-04-29	100.00%	100.00%
Convert the legacy data from image to text - Phase I	DME	*	\$3.9	\$0.5	2010-10-01	2010-10-01	2011-09-30		60.00%	60.00%
Design the User interface - Phase I	DME	*	\$2.7	\$1.2	2010-10-01	2010-10-01	2011-09-30		37.00%	37.00%
Start Agile activities (e.g. sprints) for high value targets - Phase I	DME	*	\$0.0	\$0.0	2011-05-02		2011-09-30		0.00%	0.00%
Start Agile activities (e.g. sprints) for patent search capabilities - Phase I	DME	*	\$0.0	\$0.0	2011-09-01		2011-09-30		0.00%	0.00%
Support Program Management for OCIO (FY11)	DME	*	\$0.4	\$0.1	2010-10-01	2010-10-01	2011-09-30		60.00%	60.00%
Support Program Management for Patents (FY11)	DME	*	\$0.1	\$0.0	2011-04-01		2011-09-30		1.00%	1.00%
Train team	DME	*	\$0.1	\$0.0	2011-03-01	2011-03-01	2011-09-30		15.00%	15.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
members in Agile - Phase I										
Build internal cloud environment - Phase II	DME	*	\$5.4	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Conduct Technology test team market research - Phase II	DME	*	\$0.5	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Convert the legacy data from image to text - Phase II	DME	*	\$5.4	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Design the User interface - Phase II	DME	*	\$2.2	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Start Agile activities (e.g. sprints) for IP5 initiatives - Phase II	DME	*	\$4.3	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Start Agile activities (e.g. sprints) for high value targets - Phase II	DME	*	\$10.9	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Start Agile activities (e.g. sprints) for patent search capabilities - Phase II	DME	*	\$4.3	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Support Program Management for OCIO (FY12)	DME	*	\$2.2	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Support Program	DME	*	\$3.3	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Management for Patents (FY12)										
Train team members in Agile - Phase II	DME	*	\$0.5	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Build internal cloud environment - Phase III	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Convert the legacy data from image to text - Phase III	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Design the User interface - Phase III	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Plan add'l Agile activities	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Start Agile activities (e.g. sprints) for IP5 initiatives - Phase III	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Start Agile activities (e.g. sprints) for high value targets - Phase III	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Start Agile activities (e.g. sprints) for patent search capabilities - Phase III	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Support Program Management for OCIO (FY13)	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Support Program Management for Patents (FY13)	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Support deployment for examiners	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Train team members in Agile - Phase III	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*
Operate and Maintain PE2E - FY14	SS	*	*	*	2013-10-01	*	2014-09-30	*	*	*
Operate and Maintain PE2E - FY15	SS	*	*	*	2014-10-01	*	2015-09-30	*	*	*
Operate and Maintain PE2E - FY16	SS	*	*	*	2015-10-01	*	2016-09-30	*	*	*
Develop and evaluate vendor prototype solution software	DME	*	\$4.6	\$3.2	2010-10-01	2010-10-01	2011-03-31	2011-03-31	100.00%	100.00%
Implement Architecture and Infrastructure 1.0	DME	*	\$3.2	\$0.2	2011-01-03	2011-01-03	2011-09-30		4.00%	4.00%
Start Agile activities (e.g. sprints) for IP5 initiatives - Phase I	DME	*	\$0.4	\$0.0	2011-04-01	2011-04-01	2011-09-30		3.00%	3.00%
Implement Architecture and Infrastructure 2.0	DME	*	\$4.3	\$0.0	2011-10-01		2012-09-30		0.00%	0.00%
Implement Architecture and Infrastructure 3.0	DME	*	*	*	2012-10-01	*	2013-09-30	*	*	*

Table II.B.1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline:

Description of Activity	DME or SS	Agency EA Transition Plan Milestone Identifier	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
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2. If the investment cost, schedule, or performance variances are not within 10 percent of the current baseline, provide a complete analysis of the reasons for the variances, the corrective actions to be taken, and the most likely estimate at completion.

3. For mixed lifecycle or operations and maintenance investments an Operational Analysis must be performed annually. Operational analysis may identify the need to redesign or modify an asset by identifying previously undetected faults in design, construction, or installation/integration, highlighting whether actual operation and maintenance costs vary significantly from budgeted costs, or documenting that the asset is failing to meet program requirements. The details of the analysis must be available to OMB upon request. Insert the date of the most recent or planned operational analysis.

4. Did the Operational analysis cover all 4 areas of analysis: Customer Results, Strategic and Business Results, Financial Performance, and Innovation?

Section C: Financial Management Systems

Table II.C.1: Financial Management Systems			
System(s) Name	System acronym	Type of Financial System	BY Funding
*	*	*	*

Section D: Multi-Agency Collaboration Oversight (For Multi-Agency Collaborations only)

Table II.D.1. Customer Table:	
Customer Agency	Joint exhibit approval date
NONE	

Table II.D.2. Shared Service Providers		
Shared Service Provider (Agency)	Shared Service Asset Title	Shared Service Provider Exhibit 53 UPI (BY 2011)
*	*	*

Table II.D.3. For IT Investments, Partner Funding Strategies (\$millions):							
Partner Agency	Partner exhibit 53 UPI (BY 2012)	CY Monetary Contribution	CY "In-Kind" Contribution	CY Fee-for-Service	BY Monetary Contribution	BY "In-Kind" Contribution	BY Fee-for-Service
NONE							

Table II.D.4. Legacy Systems Being Replaced		
Name of the Legacy Investment of Systems	Current UPI	Date of the System Retirement
*	*	*

Section E: Performance Information

Table I.E.1a. Performance Metric Attributes

Measurement Area (For IT Assets)	Measurement Grouping (For IT Assets)	Measurement Indicator	Reporting Frequency	Unit of Measure	Performance Measure Direction	Baseline	Year Baseline Established for this measure (Origination Date)
Mission and Business Results	Enterprise Architecture	% of identified "To-Be" IT Components mapped to TRM & SRM	annual	Percentage	Increase	0	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	0.05	TBD	Not Due	2010-09-21
Mission and Business Results	Enterprise Architecture	% of identified "To-Be" IT Components mapped to TRM & SRM	annual	Percentage	Increase	0.05	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	0.25	TBD	Not Due	2010-09-21
Mission and Business Results	Enterprise Architecture	% of identified "To-Be" IT Components mapped to TRM & SRM	annual	Percentage	Increase	0.25	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	0.5	TBD	Not Due	2010-09-21
Mission and Business	Enterprise Architecture	% of identified "To-Be" IT	annual	Percentage	Increase	0.5	2010-08-30

Results		Components mapped to TRM & SRM					
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	0.75	TBD	Not Due	2010-09-21
Mission and Business Results	Enterprise Architecture	% of identified "To-Be" IT Components mapped to TRM & SRM	annual	Percentage	Increase	0.75	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2015	0.85	TBD	Not Due	2010-09-21
Mission and Business Results	Enterprise Architecture	% of identified "To-Be" IT Components mapped to TRM & SRM	annual	Percentage	Increase	0.85	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2016	0.95	TBD	Not Due	2010-09-21
Customer Results	Customer Training	eligible Patent Corps employees trained on available PE2E SE functionality	annual	Percentage	Increase	0	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	0	TBD	Not Due	2010-09-21
			2012	1	TBD	Not Due	2010-09-21

Customer Results	Customer Training	newly eligible Patent Corps employees on available PE2E SE functionality	annual	Percentage	Increase	0	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	1	TBD	Not Due	2010-09-21
			2014	1	TBD	Not Due	2010-09-21
			2015	1	TBD	Not Due	2010-09-21
			2016	1	TBD	Not Due	2010-09-21
Technology	Data Standardization or Tagging	Percent of XML resources validated in the PE2E SE process	annual	Percentage	Increase	0	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	0.7	TBD	Not Due	2010-09-21
Technology	Data Standardization or Tagging	Percent of XML resources validated in the PE2E SE process	annual	Percentage	Increase	0.7	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated

			2012	0.8	TBD	Not Due	2010-09-21
Technology	Data Standardization or Tagging	Percent of XML resources validated in the PE2E SE process	annual	Percentage	Increase	0.8	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	0.85	TBD	Not Due	2010-09-21
Technology	Data Standardization or Tagging	Percent of XML resources validated in the PE2E SE process	annual	Percentage	Increase	0.85	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2014	0.9	TBD	Not Due	2010-09-21
Technology	Data Standardization or Tagging	Percent of XML resources validated in the PE2E SE process	annual	Percentage	Increase	0.9	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2015	0.95	TBD	Not Due	2010-09-21
Processes and Activities	Risk	Risk reduction components created for PE2E SE	annual	Risk Management Plan and Registry created/updated; prototypes created for prototype(s) of a happy path and will lead to the initial architecture and	Reduction	0	2010-08-30

				infrastructure which will be the foundation of the PE2E-SE			
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2011	1	TBD	Not Due	2010-09-21
Processes and Activities	Risk	Risk reduction components created for PE2E SE	annual	Data Migration Plan created	Reduction	0	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2012	1	TBD	Not Due	2010-09-21
Processes and Activities	Risk	Risk reduction components created for PE2E SE	annual	TBD	Reduction	TBD	2010-08-30
			Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
			2013	TBD	TBD	Not Due	2010-09-21
			2014	TBD	TBD	Not Due	2010-09-21
			2015	TBD	TBD	Not Due	2010-09-21
			2016	TBD	TBD	Not Due	2010-09-21
Technology	Data Standardization or Tagging	Training of Patent Corps on PE2E SE	annual	Percentage	Increase	0.95	2010-08-30

Fiscal Year	Target	Actual Results	Target "Met" or "Not Met"	Last Updated
2016	0.99	TBD	Not Due	2010-09-21

* - Indicates data is redacted.